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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of

#7

Applicant(s) : Affinito et al.  
Serial No. : 09/811,919  
Filed : March 19, 2001  
Title : **PLASMA ENHANCED CHEMICAL DEPOSITION FOR HIGH AND/OR LOW INDEX OF REFRACTION POLYMERS**  
Docket : BAT 0029 IA

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on June 13, 2001.

Assistant Commissioner for Patents  
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*Patricia L. Prior*  
Patricia L. Prior  
Reg. No. 33,758

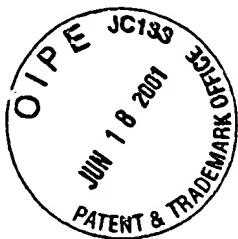
Sir:

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**UNDER 37 CFR §§ 1.56, 1.97, AND 1.98**

Applicants submit herewith patents, publications, and other information of which they are aware, which they believe may be material, as defined in 37 CFR §1.56(b), to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 CFR §1.56(b), the filing of this Information Disclosure Statement is not intended to, pursuant to 37 CFR §1.97(h), constitute an admission that any patent, publication, or other information referred to is, or is considered to be, material to the patentability of this invention. Further, pursuant to 37 CFR §1.97(g), the filing of this Statement should not be construed as a statement that a search has been made or that no other material information exists.

A listing of all items of information cited is attached on PTO/SB/08A, a substitute for form 1449A/PTO. Copies of the items are enclosed for the convenience of the Examiner.

Serial No. 09/811,919  
Docket BAT 0029 IA



This Information Disclosure Statement is being filed within the period set forth in 37 CFR §1.97(b) because it is filed within three months of the filing date of a national application or within three months of the date of entry of the national stage as set forth in 37 CFR §1.491 in an international application.

Respectfully submitted,

KILLWORTH, GOTTMAN, HAGAN  
& SCHAEFF, L.L.P.

By Patricia L. Prior

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Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				Application Number	09/811,919
Sheet	1	of	6	Filing Date	March 19, 2001
				First Named Inventor	John D. Affinito
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	BAT 0029 IA

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		3,475,307		Knox et al.	10/28/1969	
		3,607,365		Lindlof	09/21/1971	
		4,098,965		Kinsman	07/04/1978	
		4,283,482		Hattori et al.	08/11/1981	
		4,581,337		Frey et al.	04/08/1986	
		4,624,867		Iijima et al.	11/25/1986	
		4,695,618		Mowrer	09/22/1987	
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		4,954,371		Yializis	09/04/1990	
		5,032,461		Shaw et al.	07/16/1991	
		5,237,439		Misono et al.	08/17/1993	
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		5,440,446		Shaw et al.	08/08/1995	
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		5,547,508		Affinito	08/20/1996	
		5,554,220		Forrest et al.	09/10/1996	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
			EP 0 299 753		The BOC Group, Inc.	01/18/1989	
			EP 0 340 935		Spectrum Control, Inc.	11/08/1989	
			EP 0 390 540		Sharp Kabushiki Kaisha	10/03/1990	
			EP 0 547 550		Matsushita Electric Ind Co.	06/23/1993	
			EP 0 590 467		Rohm GMBH	04/06/1994	
			EP 0 722 787		Catalina Coatings, Inc.	07/24/1996	
			EP 0 787 826		Becton Dickinson and Co.	08/06/1997	
			EP 0 916 394		Sharp Kabushiki Kaisha	05/19/1999	
			EP 0 931 850		Leybold Systems GmbH	07/28/1999	
			EP 0 977 469		Hewlett-Packard Company	02/02/2000	

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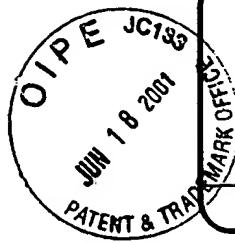
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

2 of 6

### Complete if Known

Application Number	09/811,919
Filing Date	March 19, 2001
First Named Inventor	John D. Affinito
Group Art Unit	
Examiner Name	

Attorney Docket Number BAT 0029 IA

### U.S. PATENT DOCUMENTS

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		Number	Kind Code <sup>2</sup> (if known)			
		5,576,101		Saitoh et al.	11/19/1996	
		5,607,789		Treger et al.	03/04/1997	
		5,620,524		Fan et al.	04/15/1997	
		5,629,389		Roitman et al.	05/13/1997	
		5,654,084		Egert	08/05/1997	
		5,665,280		Tropsha	09/09/1997	
		5,681,615		Affinito et al.	10/28/1997	
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		5,684,084		Lewin et al.	11/04/1997	
		5,686,360		Harvey, III et al.	11/11/1997	
		5,693,956		Shi et al.	12/02/1997	
		5,711,816		Kirlin et al.	01/27/1998	
		5,725,909		Shaw et al.	03/10/1998	
		5,731,661		So et al.	03/24/1998	
		5,747,182		Friend et al.	05/05/1998	
		5,757,126		Harvey, III et al.	05/26/1998	
		5,759,329		Krause et al.	06/02/1998	
		5,792,550		Phillips et al.	08/11/1998	
		5,811,177		Shi et al.	09/22/1998	

### FOREIGN PATENT DOCUMENTS

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		Office <sup>3</sup>	Number <sup>4</sup>				
			WO 87 07848	Spectrum Control, Inc.	12/30/1987		
			WO 95 10117	Catalina Coatings, Inc.	04/13/1995		
			WO 97 04885	Battelle Memorial Institute	02/13/1997		
			WO 97 22631	Talison Research	06/26/1997		
			WO 98 10116	Talison Research	03/12/1998		
			WO 98 18852	Catalina Coatings, Inc.	05/07/0998		
			WO 99 16557	Battelle Memorial Institute	04/08/1999		
			WO 99 16931	Battelle Memorial Institute	04/08/1999		
			DE 19603746	Bosch GmbH Robert	04/24/1997		
			JP 09059763	Matsushita Electric Works	03/04/1997		

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## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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**Cmplt if Known**

Application Number	09/811,919
Filing Date	March 19, 2001
First Named Inventor	John D. Affinito
Group Art Unit	
Examiner Name	

Attorney Docket Number BAT 0029 TA

## **U.S. PATENT DOCUMENTS**

CITED DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number			
		Kind Code <sup>2</sup> (if known)			
		5,811,183	Shaw et al.	09/22/1998	
		5,821,692	Rogers et al.	10/13/1998	
		5,844,363	Gu et al.	12/01/1998	
		5,872,355	Hueschen	02/16/1999	
		5,902,641	Affinito et al.	05/11/1999	
		5,902,688	Antoniadis et al.	05/11/1999	
		5,904,958	Dick et al.	05/18/1999	
		5,912,069	Yializis et al	06/15/1999	
		5,919,328	Tropsha et al.	07/06/1999	
		5,922,161	Wu et al.	07/13/1999	
		5,945,174	Shaw et al.	08/31/1999	
		5,948,552	Antoniadis et al.	09/07/1999	
		5,955,161	Tropsha	09/21/1999	
		5,965,907	Huang et al.	10/12/1999	
		5,968,620	Harvey et al.	10/19/1999	
		5,996,498	Lewis	12/07/1999	
		6,013,337	Knors	01/11/2000	
		6,045,864	Lyons et al.	04/04/2000	
		6,083,628	Yializis	07/04/2000	

## **FOREIGN PATENT DOCUMENTS**

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<b>C mplet If Known</b>	
<b>Application Number</b>	09/811,919
<b>Filing Date</b>	March 19, 2001
<b>First Named Inventor</b>	John D. Affinito
<b>Group Art Unit</b>	
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	BAT 0029 IA

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Sheet

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Application Number	09/811,919
Filing Date	March 19, 2001
First Named Inventor	John D. Affinito
Group Art Unit	
Examiner Name	

Attorney Docket Number

BAT 0029 IA

## OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		AFFINITO, J.D., ET AL., "Vacuum Deposition of Polymer Electrolytes on Flexible Substrates," "Proceedings of the Ninth International Conference on Vacuum Web Coating," November 1995 ed R. Bakish, Bakish Press 1995, pg. 20-36	
		VOSEN, J.L., ET AL., THIN FILM PROCESSES, Academic Press, 1978, Part II, Chapter 11-1, Glow Discharge Sputter Deposition, p. 12-63; Part IV, Chapter IV-1, Plasma Deposition of Inorganic Compounds and Chapter IV-2 Glow Discharge Polymerization, p. 335-397	
		PENNING, F.M., ELECTRICAL DISCHARGES IN GASSES, Gordon and Breach Science Publishers, 1965, Chapters 5-6, p. 19-35, and Chapter 8, p. 41-50	
		AFFINITO, J.D., ET AL., "High Rate Vacuum Deposition of Polymer Electrolytes," Journal Vacuum Science Technology A 14(3), May/June 1996	
		INOUE ET AL., FABRICATION OF A THIN FILM OF MNA BY VAPOUR DEPOSITION, Proc. Jpn. Congr. Mater. Res., vol. 33, pg. 177-9, 1990	
		AFFINITO, J.D. ET AL., "PML/Oxide/PML Barrier Layer Performance Differences Arising From Use of UV or Electron Beam Polymerization of the PML Layers," Thin Solid Films, Elsevier Science S.A., Vol. 308-309, October 31, 1997, pgs. 19-25	
		GUSTAFSSON, G. ET AL, "Flexible light-emitting diodes made from soluble conducting polymers," Nature, Vol. 357, 11 June 1992, pgs. 447-479	
		AFFINITO, J.D. ET AL., "Polymer-Oxide Transparent Barrier Layers," SVC 39th Annual Technical Conference, Vacuum Web Coating Session, 1996, pgs. 392-397	
		AFFINITO, J.D. ET AL, "PML/Oxide/PML Barrier Layer Performance Differences Arising From Use of UV or Electron Beam Polymerization of the PML Layers," SVC 40th Annual Technical Conference, 1997, pgs. 19-25	
		WONG, C.P., "Recent Advances in IC Passivation and Encapsulation: Process Techniques and Materials," Polymers for Electronic and Photonic Applications, AT&T Bell Laboratories, 1993, pgs. 167-209	
		DE GRYSE, R. ET AL., "SPUTTERED TRANSPARENT BARRIER LAYERS, pgs. 190-198	

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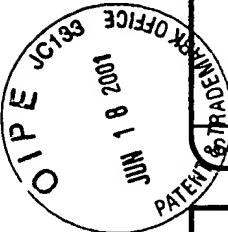
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				First Named Inventor	John D. Affinito
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	BAT 0029 IA
Sheet	6	of	6		
(use as many sheets as necessary)					



## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

10

6 of 6

**C mplet if Known**

09/811,919

March 19, 2001

John D. Affinito

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Group Art Unit

**Examiner Name**

Attorney Docket Number BAT 0029 TA

#### **OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

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